



Project Plan for Safety Management Report and Executive Safety Conference

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Recommendation	1 st Quarter Outcomes	2 nd Quarter Outcomes	3 rd Quarter Outcomes	4 th Quarter Outcomes
I. ROLES AND RESPONSIBILITIES				
I.A. Revise the FRAM to show single-point clear accountability.				
1. Use a top-down approach in which the Under Secretary and his direct staff decide how they wish to conduct oversight activities and then align roles and responsibilities of each field and HQ program element and each office reporting to the program elements.		Use the results of EM top-to-bottom review and II.C.1 below to draft new approach (Lead – EH-1)		
2. Establish a clear chain of command in the FRAM and reduce the redundancy of functions and responsibilities across program elements.		Consider designating an official technical contact person in the DOE Field Office whose function is to interface with the contractor and DOE HQ in the management of safety-issues, exemption-requests, etc. (Lead – TBD)	Update FRAMs to reflect organizational realignment (Lead – Assistant Secretaries)	



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3. Have a single group evaluate HQ FRAMs for integration among the various program elements, and for integration between the HQ program elements with the field elements.				Review FRAMs for integration (Lead – EH-1)
4. Incorporate detailed accountabilities where authorities are delineated.			Clarify authorities in FRAM updates (Lead – Assistant Secretaries)	
I.B. Establish one acceptable process for delegating authority that has, as a minimum, the following attributes.	Obtain example delegation agreements from NRC, NNSA, EM, etc.; draft a template agreement for DOE that meets the objectives of I.B.1-5 (Lead – L. Reyes)	Issue sample delegation agreement for review and approval (Lead – EH-1) Make recommended revisions and issue final template (Lead – EH-1)		
1. The delegation agreement should clearly describe the authority being delegated, its limitations, applicable guidelines, and expectations and accountability.	Include in template agreement			



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2. Delegations of authority should only occur between individuals, not to positions.	Include in template agreement			
3. Both the individual delegating authority and the recipient of the authority should sign the delegation agreement to note their understanding and acceptance.	Include in template agreement	Execute final template as appropriate		
4. The program office should maintain the file of record for delegations.	Include in template agreement	Maintain a system of filing and configuration control for delegation agreements		
5. The NRC delegation of authority process and agreement should be used as a template.	Include in template agreement			
II. COMMUNICATIONS AND ORGANIZATIONAL STRUCTURE				
II.A. Change the organizational structures of the DOE Field Offices to better reflect their missions and streamline interfaces with contractor organizations.		Use EM top-to-bottom review and select sites for organizational review and realignment (Lead – LPSO)		

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II.B. Change the organizational structures of the DOE-HQ program elements to reflect their responsibilities and to streamline the interfaces required between the Field Offices and the various HQ elements.				
II.C. To consolidate efforts and pool resources, move the major ES&H crosscutting functions of the various HQ program elements to EH as the lead organization.				
1. Identify those ES&H crosscutting functions that currently reside in the HQ program elements that can be moved to EH as the lead organization; i.e., the major ES&H functions of EM, SC, and NE.		Assistant Secretaries from EH, NE, SC, and EM meet to identify cross cutting functions (Lead – EH-1)	Provide recommendations to consolidate functions (Lead – EH-1) Revise FRAMS (Lead – Affected Assistant Secretaries)	Execute consolidation recommendation and provide services for organizations (Lead – EH-1)



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2. At a minimum, move the functions related to identification and publication of operating experience and lessons learned, detailed analysis of occurrence reporting, conduct of significant ORRs, special ES&H reviews and accident investigations, and collection of core functional area expertise in ES&H.		In conjunction with FY03 budget, review affected organizations considering these functions (Lead – TBD)	Provide recommendations for consolidation and realignment to achieve efficiencies and effectiveness Submit to HR functional descriptions of offices, PDs, and HR forms (Lead – Affected Assistant Secretaries)	Execute recommendations
III. PLANNING				
III.A. Use an integrated planning process that coordinates and schedules the oversight and other review activities in the field and in HQ on one schedule.				



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1. Schedule the oversight and review activities of the contractor, DOE Field Office, and HQ program elements, as well as routine audits conducted by the Office of the Inspector General, on an integrated plan.	Meet with ORP on Jan 29 to pilot integrated planning for EM site (Sponsor – M. Johnson Leads – L. Reyes/ H. Boston) Identify SC site for pilot and complete integrated planning (Sponsor – M. Johnson; Lead – EH, L. Reyes) S1-1	Pilot integrated planning for the SRS. Include performance metrics from Section III.B. (Sponsor – M. Johnson; Leads – EH/ A. Doswell) S1-1		
2. These activities should contain as a minimum, assessments, reviews, authorization basis review and approvals, and ORRs.	Provide guidance to pilot sites and assoc. stakeholders at least 2 weeks before scheduled meeting Identify possible efficiencies in DOE review and approval process in the integrated planning (Lead – L. Reyes) S1-1			
3. Include resources expected for each scheduled activity.	Include resources at the pilot planning meetings S1-1	Include resources at the pilot integrated planning meetings		

S1-1 – denotes Session 1, Action Item 1 from the Executive Safety Conference

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4. Consolidate these activities, collaborate on results, and use parallel review paths where possible.	Draft basic protocols for collaboration of activities during planning (Sponsor – M. Johnson; Lead – L. Reyes) S1-1 Report on joint reviews (those of field, contractor, and/or union) (Sponsor – M. Johnson; Lead – K. Powers)	Revise basic protocols for executing integrated planning for comment; involve NNSA (Sponsor – M. Johnson; Lead – TBD) S1-1		
5. Require Field Offices to keep the integrated schedule current and manage proposed changes.			Issue final protocols and implement integrated planning; (Lead – TBD) Maintain plans current (Lead – Field Office Managers) S1-1	Report outcomes in Executive Safety Conference (Lead – M. Johnson) S1-1
III.B. Use a measure of contractor performance to determine the level of oversight and review needed for contractors and DOE field work.	Use contractor performance as input to integrated planning in III.A S1-1			



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1. Draw on performance measures to determine and vary the level of oversight and ES&H review needed for contractor and field activity.		<p>Draft performance management tools (metrics) that can be used to set priorities for line and independent oversight and review (Sponsor – M. Johnson/D. Ruddy; Leads – D. Stadler/ B. Pedde)</p> <p>Conduct pilot at SRS and Pantex using metrics (Leads – D. Stadler/B Pedde)</p> <p>Draft metrics that can also be used as opportunities for benchmarking and site incentives (Sponsor – M. Johnson/D. Ruddy; Leads – D. Stadler/ B. Pedde)</p> <p>S1-3 S3-1</p>	<p>Identify inputs and algorithms for metrics (Sponsor – M. Johnson/D. Ruddy; Leads – D. Stadler; B. Pedde)</p> <p>S1-3 S3-1</p>	<p>Report results at Dec 2002 Safety Conference (Sponsor – M. Johnson/D. Ruddy; Lead – D. Stadler)</p> <p>S1-3 S3-1</p>



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2. At a minimum, use the effectiveness of self-assessment programs, results of VPP, ISM, and ISO 14001, effectiveness of corrective actions, and assessment of events that entail risk to determine needed reviews.	Consider external certificates (eg., VPP) and effective self-assessments in integrated planning (Sponsor – M. Johnson; Lead – EH)	Define the concept of self-assessment accreditation as a means of grading DOE oversight; involve field and programs and benchmark against INPO, etc. (Sponsor – M. Johnson; Lead – D. Stadler) Involve program, field, and other stakeholders in evaluating the certification concept for execution (Sponsor – M. Johnson; Lead – D. Stadler)	Facilitate the drafting of proposed accreditation performance objectives for self-assessments (Sponsor – M. Johnson/Lead – D. Stadler)	Pilot self-assessment accreditation process at two sites (Sponsor – M. Johnson; Lead – D. Stadler)
	S1-2	S1-2	S1-2	S1-2
3. Adopt methods that other agencies such as EPA, NRC, and OSHA use in leveraging programs to vary or reduce their oversight activities.		Include in draft protocol for integrated planning (See III.A.4) S1-1	Include in final protocols (Lead – TBD)	



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4. Consider the type and level of risks of facilities or activities (i.e., radiological versus industrial) and past performance when planning oversight and other ES&H activities.	Consider type and level of risk in integrated planning pilots (Sponsor – M. Johnson; Lead – TBD) S1-1	Include risk considerations in protocols for integrated planning (Sponsor – M. Johnson; Lead – TBD) S1-1		
IV. HUMAN CAPITAL				
IV.A. Through the Federal Technical Capability Panel, determine the results obtained by each office in addressing shortages of nuclear criticality safety resources.		Address shortage of expertise in contracts management and develop core competencies and training (Sponsor – K. Klein; Lead – TBD) S4-7		
1. Establish a nuclear criticality safety resource center in EH to develop expertise to be used throughout the DOE complex.		Identify FY03 FTE needs; for nuclear criticality safety; establish a recruitment schedule (Lead – D. Stadler)	Conduct recruitment per plan (Lead – D. Stadler)	Hire the necessary nuclear criticality personnel and propose training (Lead – D. Stadler)



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2. Sponsor “Q” clearances for top nuclear criticality safety contractor personnel.		Identify top nuclear criticality safety personnel; identify needs for “Q” cleared criticality personnel (Lead – TBD)	Resolve issues with “Q” clearances to meet needs; identify sponsors for clearances (Lead – TBD)	
IV.B. Increase the weight given to field experience in rating candidates for management positions in DOE-HQ offices.				
1. Double the weight given field experience when rating candidates for management positions in DOE-HQ so that field experience becomes one of the dominant factors.	Consider field experience in selection for management positions (Lead – Assistant Secretaries)			
IV.C. Inform early- and mid-career employees located at closure sites of career opportunities at other DOE closure sites.				
1. Determine career opportunities that may be available over the next several years at other sites that may benefit from closure site field-experienced employees.			Identify available vacancies at other DOE sites closure sites (Lead – TBD)	



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2. As a minimum, notify each closure site interested employee within DOE of these opportunities.				Notify employees of vacancies (Lead – TBD)
3. As soon as possible, HQ should facilitate agreements between the sites for employee future career path; use Rocky Flats efforts in this area as a starting point.				Facilitate agreements between sites (Lead – TBD)
V. APPLICABILITY OF REQUIREMENTS				
V.A. Revise directives and guidance documents so that they are applicable to the various broad missions of environmental management, research, construction, and other nondefense-related activities.	Hold workshop to improve the tailoring of ES&H standards and requirements (Lead – K. Carlson/A. Parker) S2-2	Develop path forward for review and comment (Lead – K. Carlson/A. Parker) Re-evaluate DOE review and approval process (Sponsor – K. Carlson; Lead – TBD) S2-2 S2-3	Communicate lessons learned and provide input for revisions to directives and guidance documents (Lead – K. Carlson) S2-2	Report accomplishments at Dec. 2002 Safety Management Conference (Lead – K. Carlson) S2-4



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1. Group the directives and guidance documents in terms of their impact on safety and work efficiency (high, medium, low).	Review the directives to determine if there are opportunities to reduce unnecessary, non-value added requirements (Lead – R. Hopf)	Report progress at Spring 2002 ISM Workshop on directive review process (Lead – R. Hopf)		
2. Create small groups of personnel to review the directives and their guidance documents; ensure that the group has a reasonable cross section of stakeholders (i.e., personnel with direct responsibility from the field, each applicable HQ program element, directive owner, core experts).	Establish review teams that represent various stakeholders (HQ, field, contractors) (Lead – R. Hopf)			
3. Based on priority, review directives for their applicability, usability, and effectiveness to the various activities in the field.	Establish review parameters, scope and objectives (Lead – R. Hopf)			



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4. Solicit early input from a select group of contractor and DOE field users, and solicit comments on revised directives from contractors and Field Offices.	Solicit and receive comments from contractors and the DOE community (Lead – R. Hopf)			
5. Document resolution of comments for distribution.	Resolve/consider comments and issue recommendations to the Executive Committee. (Lead – R. Hopf)	Executive Committee complete review of recommendations for directive changes and issue to order change process (Lead – TBD)	Make necessary changes to Orders and issue for review (Lead – TBD)	
V.B. Provide clarification where applicability of requirements is questionable.				
1. Create a requirements interpretation process that is published and shared with the rest of the complex.		Recommend a process for consistent and accessible interpretation of requirements (Lead – R. Black)	Issue the requirements interpretation process for review and comment; consider the system to be deployed for communicating interpretations to the DOE Complex (Lead – R. Black)	Implement the system for sharing interpretations of requirements (Lead – R. Black)



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2. Set and meet schedules for responding to requests on applicability of requirements.		Make requirements interpretation process project oriented (Lead – R. Black)		
3. Identify opportunities where the graded approach is effectively used and share with the complex.			Implement a system for sharing lessons learned/best practices for tailoring requirements (Sponsor – K. Klein/K. Carlson; Lead – J. Nemec) S4-1 S2-1	
4. Develop guidance documents or acceptable interpretations of requirements for broad missions; e.g., authorization basis for waste storage on concrete pads or preventive maintenance at short-lived facilities.		Identify and share broad mission-related ABs (see RL/RF model) (Lead – S. Olinger)		
V.C. Improve the efficiency of the exemption/waiver processes and communicate requested and approved exemptions/waivers throughout the greater DOE complex.				



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1. Prioritize evaluation of exemptions/waivers based on need; ensure appropriate resources exist to meet needed time frames.		Evaluate exemption/waiver process for efficiencies and effectiveness; solicit input from interested parties (Sponsor – K. Klein; Lead – TBD) S4-1	Make recommendation for improving exemption/waiver process (Sponsor – K. Klein; Lead – TBD) S4-1	Implement improvements to the exemption and waiver process; and communicate at the Dec. 2002 Safety Management Conference (Sponsor – K. Klein; Lead – TBD) S4-1
2. Set target turnaround times for exemption/waiver determinations and measure effectiveness in meeting schedules; consider using project scheduling to anticipate needs and monitor the status of determinations to their completion.				
3. Communicate requested exemptions/waivers, as well as approved and disapproved requests to the DOE complex for efficiency.			Implement a system for communicating exemptions and waivers to the DOE Complex (Sponsor – K. Klein; Lead – TBD) S4-1	



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V.D. Use national standards (such as ANSI, ASME, IEEE, etc.) unless there is a clear reason for generating new requirements.	<p>Prepare a white paper on the KCP Order Reduction Project; distribute to conference members (Sponsor – K. Klein; Lead – B. Sellers) S4-2</p> <p>Identify pilots for commercial standards and initiate discussions; consider PNNL and ORNL (Lead – K. Klein/ B. Madia) S2-1 S4-6</p>		Put contract in place for pilot site (PNNL) using commercial standards where possible (Lead – K. Klein) S2-1 S4-6	Provide input and support similar commercial standard effort at next identified pilot site (Lead – K. Klein) S2-1 S4-6
VI. OPERATING EXPERIENCE & REPORTING				
VI.A. Revise existing occurrence reporting requirements to eliminate nuisance reporting.				



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1. Determine the expectations of the occurrence reporting system; i.e., input to performance indicators, indication of incidents, operating experience and feedback, trending and data analysis, performance improvement, Price Anderson, etc.		Create a task force to identify needed changes to the occurrence reporting requirements and system; report in Spring 2002 ISM workshop (Sponsor – D. Ruddy; Lead – F. Russo) S3-1		
2. Revise occurrence reporting categories and data fields to also align with cleanup and science missions and expectations.			Revise ORPS case codes and link to ISM core functions and principles (Sponsor – D. Ruddy; Lead – F. Russo) S3-1	
3. Change reporting thresholds to eliminate nuisance reporting; i.e., minor skin contamination, vehicles failing inspections and not removed from service, and defective items not posing substantial safety hazards.			Revise ORPS reporting thresholds to reduce unnecessary reporting (Sponsor – D. Ruddy; Lead – F. Russo) S3-1	
4. Involve field personnel (such as facility representatives) early in the review and revision process.				

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VI.B. Make a concerted effort to consolidate some of the various reporting systems.				Consolidate reporting systems (Sponsor – D. Ruddy; Lead – F. Russo) S3-1
VI.C. Integrate into one group in EH the coordination of data from operating experience, analysis of operating trends, and the INPO interface.	Create task force to determine needs and improvements in operating experience (Lead – F. Russo)	Recommend changes to operating experience programs and report to ISM Workshop (Lead – F. Russo)		
1. Implement one effective, complex-wide operating experience and performance trending program in EH.	Establish a task force to identify methods to communicate best practices and lessons learned related to ISM (Sponsor – D. Ruddy; Lead – F. Russo) S3-1			
2. At a minimum, use INPO's operating experience program as a guide.	Benchmark INPO operating experience program (Lead – F. Russo)			
3. Perform data analysis and trending of occurrence reporting to share with the complex.			Execute improvements in operating experience communication (Lead – F. Russo)	



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4. Solicit stakeholder input and conduct effectiveness reviews of activities and products.				Conduct self assessment and solicit input from stakeholder on operating experience program improvements (Lead – F. Russo)
5. Move the responsibility for INPO interface to the same group responsible for coordinating operating experience and data analysis.		Make organizational decisions for INPO interface and operating experience to improve effectiveness (Lead – EH-1)		
VI.D. Renew the INPO membership.	Meet with INPO representatives (Lead – EH-1)	Renew contract for INPO membership (Lead – EH-1)		
VII. CORRECTIVE ACTIONS				
VII.A. Supplement or replace current reviews of corrective action completion with effectiveness reviews.	Revise DOE Order 414.1A to act as mechanism for requiring effectiveness reviews of corrective actions (Lead – R. Hardwick)	Issue revisions for comment (Lead – R. Hardwick)	Implement the revised requirements of DOE Order 414.1A	



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1. To reinforce improved performance, perform reviews of the effectiveness of corrective actions in resolving issues.		Reinforce improved performance by improving the contractor's systems for deficiency and problem reporting and tracking. (Lead – TBD)		
2. Check completion of individual corrective actions on a sample basis.				
VIII. CLOSURE SITES LEGACY				
VIII.A. Allocate resources to closure sites to capture their experience in using new approaches to accomplish safe and efficient results.				
1. Find means to preserve the legacy of cleanup efforts in accelerated cleanup.	Establish a steering committee and identify and prioritize topics for preservation (Lead – H. Dalton)	Present project plan to ASEM, including resource requirements and schedule (Lead – H. Dalton)		Document the Closure Project experience and knowledge (Lead – H. Dalton)
2. At a minimum, use tools such as digital video discs and compact discs to capture knowledge and experience gained at these sites.				



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IX. CONTRACT REFORM				
IX.A. Improve the contribution of contracts to the effective implementation of ISM.	<p>Clarify existing flexibilities for tailoring List B (Sponsor – K. Klein; Lead – R. Hopf)</p> <p>Request EFCOG consider sharing best practices for enhancing subcontractors safety (workshops, websites, newsletters, etc.) (Sponsor – K. Klein; Lead – J. Nemec)</p> <p>S4-3 S4-4</p>	<p>Revisit standard “Killer Clause” and “ISM Clause” to ensure intent and construct meet safety improvement objectives; involve EFCOG (Sponsor – K. Klein; Lead – R. Hopf)</p> <p>Provide progress report in the Spring ISM Workshop (Lead – K. Klein)</p> <p>S4-5</p>	<p>Implement best practices for subcontractor safety enhancements (Lead – EFCOG)</p> <p>Report on any recommended changes to contract clauses to improve meeting safety objectives; begin institutionalizing (Sponsor – K. Klein; Lead – R. Hopf)</p> <p>S4-4 S4-5</p>	<p>Implement a system for sharing best practices and contract reform (Sponsor – K. Klein; Lead – TBD)</p> <p>Report outcomes in the Dec. 2002 Executive Safety Management Conference (Lead – K. Klein)</p> <p>S4-1</p>